

Serial N : 09/966,982 Filing Date: 09/27/01  
Client: AgraQuest

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Client: AgraQuest  
Title: NOVEL STRAIN OF STREPTOMYCES FOR CONTROLLING PLANT DISEASES  
Docket No.: AQ 2018.20/Billing No 23893-7180 Atty. Initials: CMG:nlh  
Mailed: December 21, 2001 Docket Due Date: \_\_\_\_\_

*The Following Was Received In The U.S. Patent And Trademark Office On The Date Stamped Hereon:*

- Return Receipt Postcard
- Recordation Cover Sheet (2 pgs)
- Executed Assignment (by Lehman, Yuan, Manker, Orjala, Marrone, Santamaria) (2 pgs)

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Ms. Edwina Fenili  
Patent-Trademark Administrator/Docketer  
McCutchen, Doyle, Brown & Enersen, LLP  
Three Embarcadero Center  
Suite 1800  
San Francisco, CA 94111-4067

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## U.S. DEPARTMENT OF COMMERCE

# **RECORDATION FORM COVER SHEET** **PATENTS ONLY**

Patent and Trademark Office

Docket No. AQ 2018.20

To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies):  <b>Lori Jo LEHMAN</b>  <b>Caiyao YUAN</b>  <b>Denise Carol MANKER</b></p> <p> <input checked="" type="checkbox"/> Individual(s)                      <input type="checkbox"/> Association  <input type="checkbox"/> General Partnership              <input type="checkbox"/> Limited Partnership  <input type="checkbox"/> Corporation-State                  <input type="checkbox"/> Other </p> <p>Additional name(s) of conveying party(ies) attached? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>2. Name and address of receiving party(ies):</p> <p>Name: <b>AgraQuest, Inc.</b>  Address: <b>1530 Drew Avenue</b>  City: <b>Davis</b>                                  State: <b>California</b>  Zip Code: <b>95616</b></p>
<p>3. Nature of conveyance:</p> <p> <input checked="" type="checkbox"/> Assignment                              <input type="checkbox"/> Merger  <input type="checkbox"/> Security Agreement                  <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other: </p> <p>Execution Date:</p>	<p>Additional name(s) &amp; address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>

4. Application number(s) or patent number(s): **09/966,982**

If this document is being filed with a new application, the execution date of the application is:

A. Patent Application No.(s):                                  B. Patent No.(s):

Additional numbers attached? ☐ Yes ☐ No

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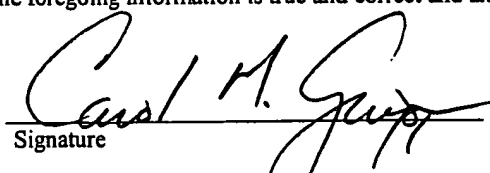
<p>5. Name and address of party to whom correspondence concerning document should be mailed:</p> <p><b>Antoinette F. Konski</b>  <b>McCutchen Doyle Brown &amp; Enersen LLP</b>  <b>Three Embarcadero, Suite 1800</b>  <b>San Francisco, CA 94111-4067</b></p>	<p>6. Total number of applications and patents involved: <b>*1</b></p> <p>7. Total fee (37 C.F.R. § 3.41): <b>\$40.00</b></p> <p> <input type="checkbox"/> Enclosed  <input checked="" type="checkbox"/> Authorized to be charged to deposit account, referencing  Billing No. 23893-7180 </p> <p>8. Deposit account number: <b>50-1189</b></p>
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The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §1.21 that may be required by this paper, or to credit any overpayment to Deposit Account No. 50-1189

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Name: **Carol M. Gruppi**                                                                    Date: **December 21, 2001**  
Registration No. **37,341**                                  Signature

Total number of pages comprising cover sheet, attachments and document: **5**

Mail documents to be recorded with required cover sheet information to:  
U.S. Patent and Trademark Office  
Office of Public Records  
Box Assignments  
Washington, D.C. 20231

Additional names of conveying parties:

Jimmy Ensio ORJALA

Pamela Gail MARRONE

Jorge Isaac Jimenez SANTAMARIA

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### ASSIGNMENT (JOINT)

THIS ASSIGNMENT, by **Lori Jo Lehman, Randy Jay McCoy, Cai-yao Yuan, Denise Carol Manker, Jimmy Ensio Orjala, Pamela Gail Marrone and Jorge Isaac Jimenez Santamaria** (hereinafter referred to as the assignors), residing at **1218 Las Encinas Court, Vacaville, CA 95687, 3212 Breton Avenue, Davis, CA 95616, 1213 Chestnut Lane, Davis, CA 95616, 3037 Prado Lane, Davis, CA 95616, 2905 Lillard Drive, Davis, CA 95616, 3333 Victoria Place, Davis, CA 95616 and 2326 V Street, Apt. #4, Sacramento, CA 95818**, respectively, witnesseth:

WHEREAS, said assignors have invented certain new and useful improvements in **Novel Strain Of Streptomyces For Controlling Plant Diseases**, set forth in a patent application for the United States, bearing Application No. **09/966,982**, filed on **September 27, 2001**; and

WHEREAS, **AgraQuest, Inc.**, a corporation duly organized under and pursuant to the laws of **Delaware** and having its principal place of business at **1530 Drew Avenue, Davis, California 95616** (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application and any applications for Letters Patent which claim priority of the above-mentioned application under 35 U.S.C. § 119(e), alone or in combination with 35 § U.S.C. 120 (hereinafter collectively referred to as an application for "Letters Patent") of the United States;

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents does sell, assign, transfer and set over, unto said assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and the same to be held and enjoyed by said assignee, for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the joint and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said applications for Letters Patent and any patents to be obtained thereon, granted thereon is lawful and desirable, sign all papers and documents,

take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner for Patents to issue said applications for Letters Patent and patents granted thereon of the United States to said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use of said assignee, its successors, legal representatives and assigns.

11-29-01  
Date

Lori Jo Lehman  
Name: **Lori Jo Lehman**

Date

Name: **Randy Jay McCoy**

Nov. 29. 2001  
Date

Caiyao Yuan  
Name: **Caiyao Yuan**

Nov. 29, 2001  
Date

Denise Carol Manker  
Name: **Denise Carol Manker**

Nov. 29, 2001  
Date

Jimmy E. Orjala  
Name: **Jimmy Ensio Orjala**

Nov. 29, 2001  
Date

Pamela Gail Marrone  
Name: **Pamela Gail Marrone**

11/29/2001  
Date

Jorge Isaac Jimenez Santamaria  
Name: **Jorge Isaac Jimenez Santamaria**